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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 3435.1A**Effective Date: March 11,
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Subject: NASA Performance Management Plan for the Senior Executive Service w/Change 1 (3/29/04)

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Chapter 3. Performance Appraisal Process

3.1 General

Active participation of the senior executive with the supervisor in the total performance appraisal process is important to overall system effectiveness. Experience has shown that a higher level of understanding and acceptance is achieved when work plans and performance requirements are developed jointly. Recognizing this concept, it is imperative that the performance requirements be established in consultation with each senior executive. Each phase of the appraisal process requires specific actions, of both the supervising official and the subordinate senior executive, which must be conscientiously carried out if optimum benefit is to be derived.

3.2 Phase I: Performance Planning

3.2.1 The first step in the appraisal process is define Element and Performance Requirements for the appraisal period. These Element and Performance Requirements must be linked to NASA strategic planning initiatives. This is accomplished by the immediate supervisor in consultation with the senior executive and is documented in the senior executive's performance plan.

3.2.1.1 Reserved.

3.2.1.2 Reserved.

3.2.2.1 Reserved.

3.2.2.2 Reserved.

3.2.2.3 Reserved.

3.3 Phase II: Progress Reviews

3.3.1 Progress reviews may be initiated at any time by the supervisor or the senior executive. At a minimum, one progress review must be conducted between December 1 and January 31, midway into the appraisal period. The plan should be signed and dated to document the midterm review. The primary purposes of the progress review(s) are to--

3.3.1.1. Examine the current level of performance, give feedback to the executive, and if appropriate, explore ways to improve performance.

3.3.1.2. Identify and resolve problems beyond the executive's control (e.g., resource constraints) that constitute obstacles to organizational or individual performance.

3.3.1.3. Revise the performance plan to reflect new requirements or changes that necessitate revision in program emphasis; establish new requirements for the appraisal period that were not known at the time of the performance

planning session; delete requirements no longer appropriate in light of current conditions.

3.3.2 Changes should be documented in the performance plan.

3.4 Phase III: Performance Assessment

3.4.1 At the end of the appraisal period, the supervisor and the senior executive discuss the actual individual and organizational achievements during the appraisal period. The basic steps in the assessment phase are as follows:

3.4.1.1 Performance is assessed by the immediate supervisor by comparing the executive's performance to the performance requirements specified in the plan. The assessment will be based on individual and organizational performance, taking into account such factors as results achieved in accordance with the goals of the Government Performance and Results Act of 1993, the effectiveness, productivity, and performance of assigned employees, meeting safety and diversity goals, and complying with merit system principles. Customer, employee, and other stakeholder perspectives will be included in this assessment.

3.4.1.2. No specific mechanisms are prescribed for considering customer, employee, and other stakeholder perspectives. At their discretion, rating officials may use formal mechanisms such as surveys or less formal mechanisms such as unsolicited customer and employee feedback and analysis of personnel data (e.g., turnover rates, diversity reports, grievances, and workforce awards and recognition).

3.4.1.3 The supervisor provides a performance assessment and an Initial Summary Rating of the senior executive's performance. This involves assigning one of the individual element rating levels to each element in the performance plan and assigning an overall rating as the Initial Summary Rating. The individual element ratings, the Initial Summary Rating, and a narrative description of the accomplishments that support these ratings are documented on the appraisal form. The narrative must cover both managerial and technical accomplishments.

3.4.1.4 The supervisor discusses the Initial Summary Rating with the senior executive and forwards the completed performance appraisal, through the management chain, to the PRB.

3.4.1.5 If the executive wants to provide a written response to an Initial Summary Rating, the response must be submitted within 10 days of receipt of the rating. If an executive requests a higher level review, successive reviews are conducted by officials at the next higher level(s) within the management chain (if any). Depending upon the level of the senior executive, the next higher level(s) would be the EPM and/or the IPO. Each higher reviewing official will either concur with the Initial Summary Rating or recommend a different rating and may provide written comments. Should any higher level official recommend a different rating or make written comments concerning the Initial Summary Rating, copies will be provided to each principal (e.g., the senior executive, the supervisor, the EPM) and will be forwarded to the next higher level of review and/or the PRB.

3.4.1.6 The PRB will consider the Initial Summary Rating, any comments and/or recommendations by higher level official(s), and any written response by the senior executive in recommending an Annual Summary Rating to the Administrator. Should the PRB find it necessary, it may conduct a further review before determining a recommendation.

3.4.1.7. The final Annual Summary Rating is determined by the Administrator. In making this determination, the Administrator must consider the recommendation of the PRB. The senior executive is provided a copy of the Annual Summary Rating on completion of the annual performance review process.

3.5 Next Appraisal Period

During the detailed discussion of current year performance with the senior executive, or as an outgrowth of it, performance planning for the next appraisal period begins. A written performance plan is provided to the senior executive within 30 calendar days after the beginning of the new appraisal period.

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